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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/706,492	11/12/2003	Zhan Gao	16274.156a	7215
22913 7590 01/18/2007 WORKMAN NYDEGGER (F/K/A WORKMAN NYDEGGER & SEELEY) 60 EAST SOUTH TEMPLE 1000 EAGLE GATE TOWER SALT LAKE CITY, UT 84111			EXAMINER RAHLL, JERRY T	
			ART UNIT 2874	PAPER NUMBER
SHORTENED STATUTORY PERIOD OF RESPONSE		MAIL DATE	DELIVERY MODE	
3 MONTHS		01/18/2007	PAPER	

Please find below and/or attached an Office communication concerning this application or proceeding.

If NO period for reply is specified above, the maximum statutory period will apply and will expire 6 MONTHS from the mailing date of this communication.

Office Action Summary	Application No.	Applicant(s)	
	10/706,492	GAO ET AL.	
	Examiner	Art Unit	
	Jerry T. Rahl	2874	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

- 1) ☒ Responsive to communication(s) filed on 18 August 2006.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

- 4) ☒ Claim(s) 3-21 is/are pending in the application.
- 4a) Of the above claim(s) _____ is/are withdrawn from consideration.
- 5) ☒ Claim(s) 10-12 and 15-21 is/are allowed.
- 6) ☒ Claim(s) 3-9, 13 and 14 is/are rejected.
- 7) ☐ Claim(s) _____ is/are objected to.
- 8) ☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☒ The drawing(s) filed on 27 February 2006 is/are: a) ☒ accepted or b) ☐ objected to by the Examiner.
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some * c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
 2. ☐ Certified copies of the priority documents have been received in Application No. _____.
 3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

* See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

- | | |
|--|---|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892) | 4) <input type="checkbox"/> Interview Summary (PTO-413)
Paper No(s)/Mail Date. _____ |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948) | 5) <input type="checkbox"/> Notice of Informal Patent Application |
| 3) <input type="checkbox"/> Information Disclosure Statement(s) (PTO/SB/08)
Paper No(s)/Mail Date _____ | 6) <input type="checkbox"/> Other: _____ |

DETAILED ACTION

1. The indicated allowability of claims 3-9 and 13-14 is withdrawn in view of the newly discovered reference(s) to Berolo et al. Rejections based on the newly cited reference(s) follow.

Claim Rejections - 35 USC § 102

2. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(e) the invention was described in (1) an application for patent, published under section 122(b), by another filed in the United States before the invention by the applicant for patent or (2) a patent granted on an application for patent by another filed in the United States before the invention by the applicant for patent, except that an international application filed under the treaty defined in section 351(a) shall have the effects for purposes of this subsection of an application filed in the United States only if the international application designated the United States and was published under Article 21(2) of such treaty in the English language.

3. Claims 1, 8, and 13 are rejected under 35 U.S.C. 102(e) as being anticipated by US Patent No. 6,753,958 to Berolo et al.

4. Regarding Claim 1, Berolo et al. describes a planar optical circuit having an integrated optical component (89) associated with a planar substrate (see Figure 8), a waveguide (43, 47) configured to transfer an optical signal associated with the optical component, and a scattered light system (44) operable to influence propagation of the scattered light in a targeted manner and integrated into the planar substrate, where the scattered light system comprises an additional waveguide (44), one end of which is arranged in the vicinity of a scattered light source (42).

5. Regarding Claim 8, Berolo et al. describes an end of the additional waveguide (44) terminated at a photodiode (46).

6. Regarding Claim 13, Berolo et al. describes the scattered light system (42) comprising a scattered light reflecting structure associated with the planar substrate (see Column 6).

Claim Rejections - 35 USC § 103

7. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

8. This application currently names joint inventors. In considering patentability of the claims under 35 U.S.C. 103(a), the examiner presumes that the subject matter of the various claims was commonly owned at the time any inventions covered therein were made absent any evidence to the contrary. Applicant is advised of the obligation under 37 CFR 1.56 to point out the inventor and invention dates of each claim that was not commonly owned at the time a later invention was made in order for the examiner to consider the applicability of 35 U.S.C. 103(c) and potential 35 U.S.C. 102(e), (f) or (g) prior art under 35 U.S.C. 103(a).

9. Claims 9 and 14 are rejected under 35 U.S.C. 103(a) as being unpatentable over Berolo et al.

10. Regarding Claim 9, Berolo et al. does not describe the photodiode coupled to an evaluation circuit that determines optical power of the signal output of the optical component. However, evaluation circuits are well-known devices in the art for connection to photodiodes. At the time of invention, it would have been obvious to one of ordinary skill in the art to couple the photodiodes of Berolo et al. to an evaluation circuit that determines optical power of the signal output. The motivation for doing so would have been to analyze the data provided by the spectrometer of Berolo et al.

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11. Regarding Claim 14, Berolo et al. does not describe the scattered light reflecting structure including a trench within the planar substrate. However, Berolo et al. does describe the scattered light reflecting structure including an echelle grating. Echelle gratings formed with a trench structure are well-known in the art. At the time of invention, it would have been obvious to one of ordinary skill in the art to form the echelle grating of Berolo et al. using a trench in the substrate. The motivation for doing so would have been to use well-known efficient manufacturing techniques.

12. Claims 6 and 7 are rejected under 35 U.S.C. 103(a) as being unpatentable over Berolo et al. as applied to Claim 1 above, and further in view of US Patent Application Publication No. 2002/0131685 to He et al.

13. Regarding Claim 6, Berolo et al. does not describe the additional waveguide as S-shaped. He et al. describes a scattered light system using S-shaped additional waveguides (20) (see figure 4). At the time of invention, it would have been obvious to one of ordinary skill in the art to form the waveguides of Berolo et al. in the S-shape of He et al. The motivation for doing so would have been to configure the device of Berolo et al. in a back-reflection design, allowing all inputs and outputs to occur at a single face. This would make support and housing of the optical circuit easier.

14. Regarding Claim 7, He et al. describes the additional waveguides having a first, straight region parallel to the waveguide structure (at right ends in Figure 4), and an S-shaped region (middle to left end) that adjoins the first straight region.

Allowable Subject Matter

15. Claims 10-12 and 15-21 are allowed.

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16. Claims 4-5 are objected to as being dependent upon a rejected base claim, but would be allowable if rewritten in independent form including all of the limitations of the base claim and any intervening claims.

17. Claims 4 and 5 describe the optical component as a Mach-Zehnder interferometer. There is no suggestion to substitute a Mach-Zehnder for the switch in the spectrometer of Berolo et al.

18. Claims 10-12 describe the scattered light system including a light-absorbing structure. There is no suggestion or motivation to use light absorbing material in the output waveguide of Berolo et al.

19. Claims 15-18 describe the circuit including a plurality of waveguides and a plurality of trenches, where the trenches extend parallel to and between the waveguides. There is no suggestion or motivation to form light scattering place trenches between the waveguides of Berolo et al.

20. Claims 19-21 describe a trench terminating a monitoring waveguide local to the waveguide structure and a photodiode within the trench. There is no suggestion or motivation to form the photodiodes of Berolo et al. within a trench.

21. The Applicant has correctly stated that the patentability of a claim is properly determined with reference to the claim as a whole. The Examiner notes that the above-discussed limitations constitute allowable subject matter only in conjunction with all limitations of the present claims and are merely pointed out to distinguish the claimed invention from the prior art of record.

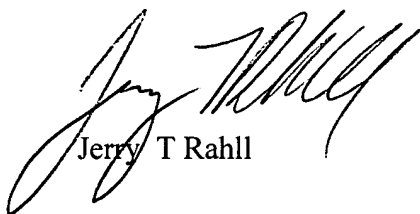
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Conclusion

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Jerry T. Rahll whose telephone number is (571) 272-2356. The examiner can normally be reached on M-Th (8:30-5:30).

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Rodney Bovernick can be reached on (571) 272-2344. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.


Jerry T Rahll


MICHELLE CONNELLY-CUSHWA
PRIMARY EXAMINER
1/11/07